

Integrated Policy Formulation and Support for the SDGs

Theory, Challenges and Experiences



Professor Barry Dalal-Clayton

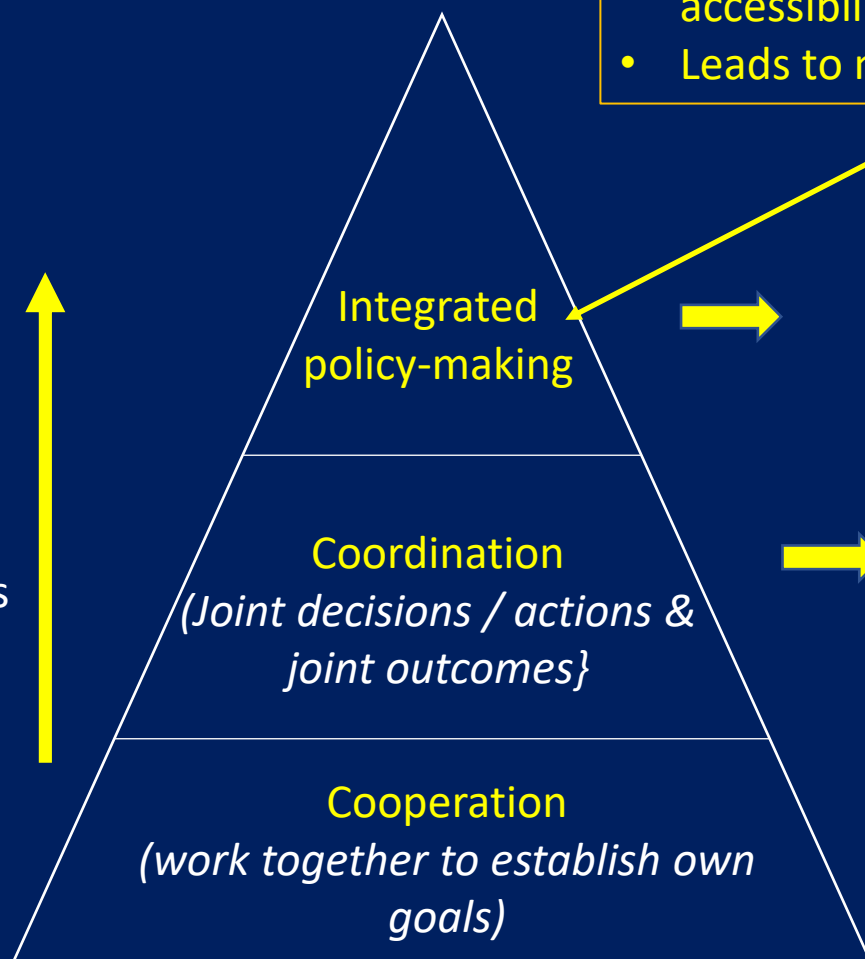
Environment and Development Services – International, UK

More complex world for policy integration

- Increasing **calls for greater policy integration**
- Wide variety of policies have **unexpected (often unwanted) consequences** - environmental & social consequences (or externalities)
- Decision-making facing increasing complexity due to **trends**, eg
 - Globalisation
 - Greater centralisation of decision-making
 - Fragmentation & decentralisation of decision-making
- **Increased number of actors** involved in the policy process
 - Emergence of the information society
 - Greater emphasis on public participation
 - Increasing role of NGOs, pressure groups & agencies in the decision-making process

Relation between co-ordination and integrated policy-making

- Interaction
- Interdependence
- Formality
- Resources needed
- Loss of autonomy
- Comprehensiveness
- Accessibility
- Compatibility (between sectors)



- Requires more interaction, accessibility, compatibility.
- Leads to more inter-dependence

Joint new policy

Adjusted + more efficient sectoral policies

More efficient sectoral policies

Cooperation

FACILITATORS of organisational cooperation	INHIBITORS of organisational cooperation
Perceived need	Vested interest
Positive attitudes	Perceived threat or competition
Consensus between administrators and staff	Disparities in staff training
Maintenance of organisational and paradigm identity	Perceived loss of organisational and programme identity
Maintenance of prestige or power	Perceived loss of prestige or authority
Group-centred approach to problems	Inter-professional and intra-professional differences
Similar resources, goals or needs	Lack of a common language
Common commitment	Different priorities, ideologies, outlooks or goals
Common definitions, ideologies, interests or approaches	Differing organisational-leader-professional socialisation
Good historical relations	Poor historical relations or image formation

Adapted from Halpert (1982)

Levels of integration

- ***Micro level integration:***

eg Impact assessment and other forms of appraisal

of the effects and consequences of **development options, proposals or actions**, particularly those undertaken by government and industry;

- ***Meso level integration:***

eg Strategic planning (including regional and land use planning) and policy mechanisms

that address directions and measures to achieve sustainable development **at all levels of decision making**;

- ***Macro level integration:***

eg Accounting-type frameworks

that evaluate progress toward or away from sustainability **at the level of society, countries or sectors** of activity; and thus inform macro policy-making.

Key steps for integration of SDGs

No one size fits all . But 3 useful steps:

1. **Review of existing strategies and plans** and identification of areas for change
2. Setting of **nationally-relevant targets**: for nationally-adapted and inclusive SDGs that are achievable, yet ambitious;
3. Formulation of strategy and plans **using integrated systems thinking**

Source: UN 2016

<https://sustainabledevelopment.un.org/>

Policy Matrix:

Legislative & Policy Framework – Nepal forestry

Laws/Policies/ Plans	Climate Change Policy, 2011	Forest Act 1993	Hydropower Policy, 2001	Irrigation, Electricity and Water Resources Act of 1967	Leasehold Forestry Policy 2002	Local Self-Governance Act, 1999	Master Plan for the Forestry Sector, 1989	Mines and Minerals Act, 1985	National Parks and Wildlife Conservation Act 1973	Public Road Act, 1974	Revised Forestry Sector Policy, 2000	Soil and Watershed Conservation Act 1982	Nepal Biodiversity Strategy, 2002	Water Resources Strategy, 2002
Climate Change Policy, 2011		O	N	N	N	N	O	N	N	N	N	N	O	O
Forest Act 1993			C	C	O	C	O	C	O	C	O	O	O	C
Hydropower Policy, 2001				O	N	C	C	C	C	N	C	C	C	O
Irrigation, Electricity and Water Resources Act of 1967					N	N	C	C	C	C	C	I	C	O
Leasehold Forestry Policy 2002						C	O	C	O	C	O	C	O	C
Local Self-Governance Act, 1999							C	C	C	N	C	C	C	N
Master Plan for the Forestry Sector, 1989								C	O	C	O	O	O	C
Mines and Minerals Act, 1985									C	C	C	C	C	C
National Parks and Wildlife Conservation Act 1973										C	O	O	O	C
Public Road Act, 1974											C	C	C	C
Revised Forestry Sector Policy, 2000												O	O	C
Soil and Watershed Conservation Act 1982													O	C
Nepal Biodiversity Strategy, 2002														C
Water Resources Strategy, 2002														C

O- Overlaps

**C- direct
contraction**

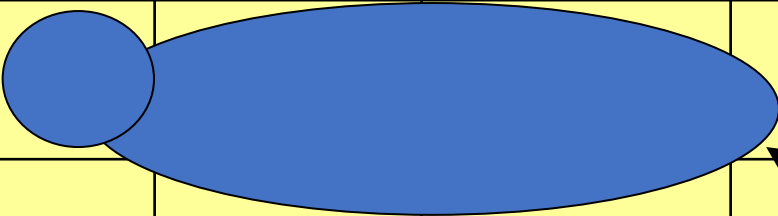
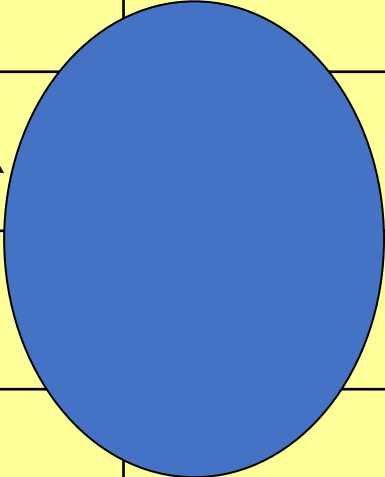
N- neutral

What is integrated policy formulation?

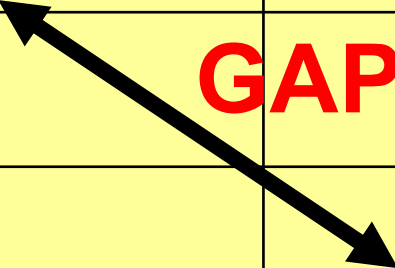
- **Horizontal sectoral integration** (between different departments and/or professions in public authorities).
- **Vertical inter-governmental integration** in **policy-making** (between different tiers of government);
- Combinations of both.

Integration of cross-cutting issues can **transcend the boundaries of established policy fields** - which often do not correspond to the institutional responsibilities of individual departments.

Vertical and horizontal integration

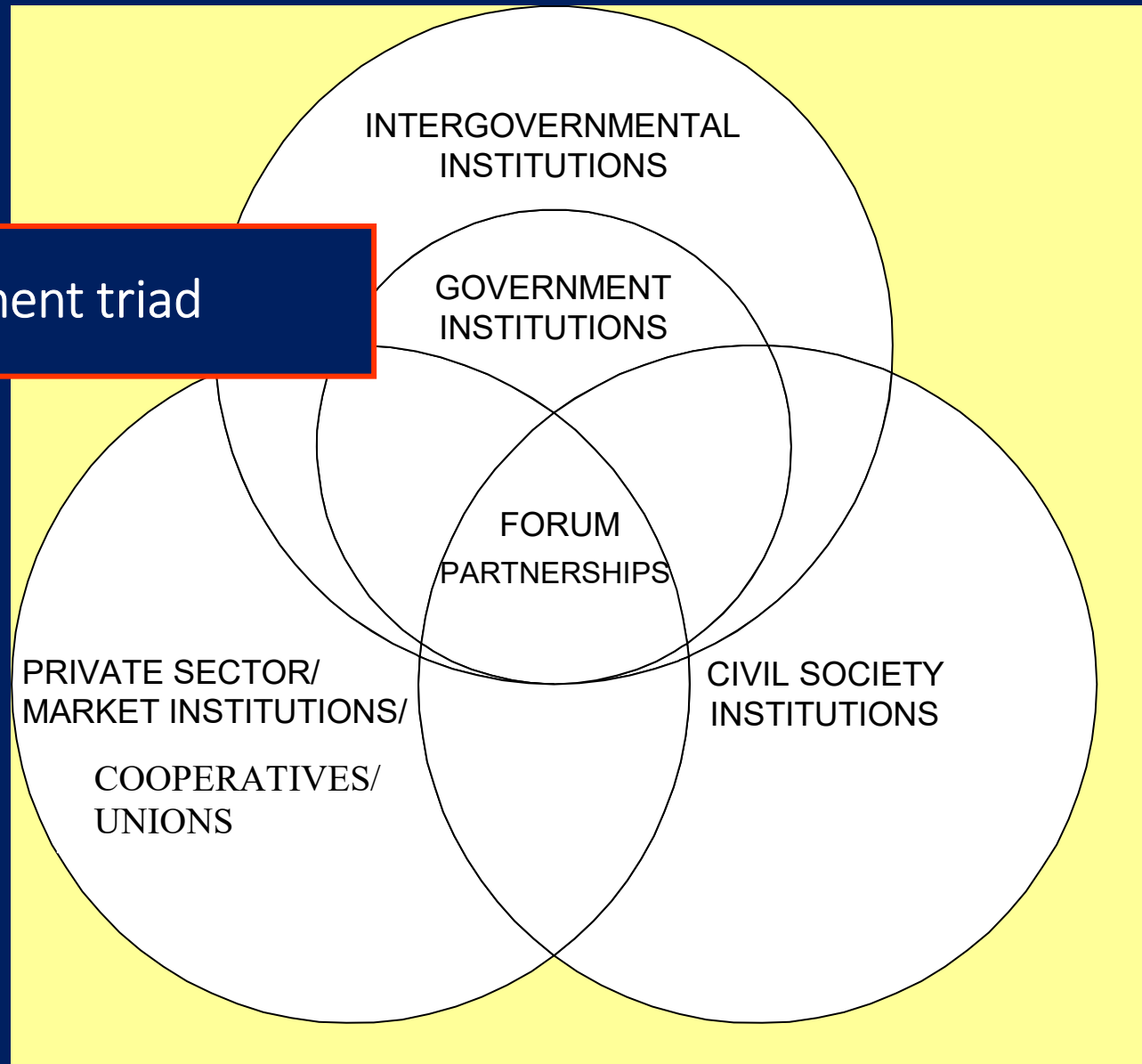
	NPC	Sector ministries	Regional / district government	Academia, NGOs	Private sector	Civil society
Regional, eg, SADC						
National						
Provinces, regions						
Local						
Household						
Marginal groups						

GAP



Knowing who needs to be involved

Sustainable development triad



CHOOSING APPROPRIATE APPROACHES/TOOLS

INFORMATION

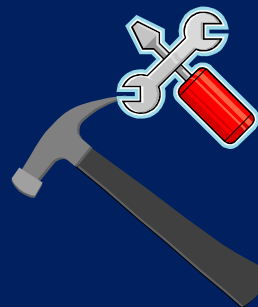
- **Economic & financial assessment**
 - CBA, green accounting
- **Impact assessment & strategic analysis**
 - EIA, SEA, SoE, Natural Step
- **Spatial assessment**
 - LUP, poverty mapping
- **Monitoring & evaluation**
 - Indicators, audits, SD reporting
- **Modelling**
- **Policy analysis**
 - Stakeholder, institutional, governance mapping

DELIBERATIVE & ENGAGEMENT

- **Participation & citizens' action**
 - PLA, citizens' juries
- **Political analysis & action**
 - Discourse-shaping, coalition-forming, manifestos, commissions
- **Conflict management**
 - Dispute resolution, arbitration

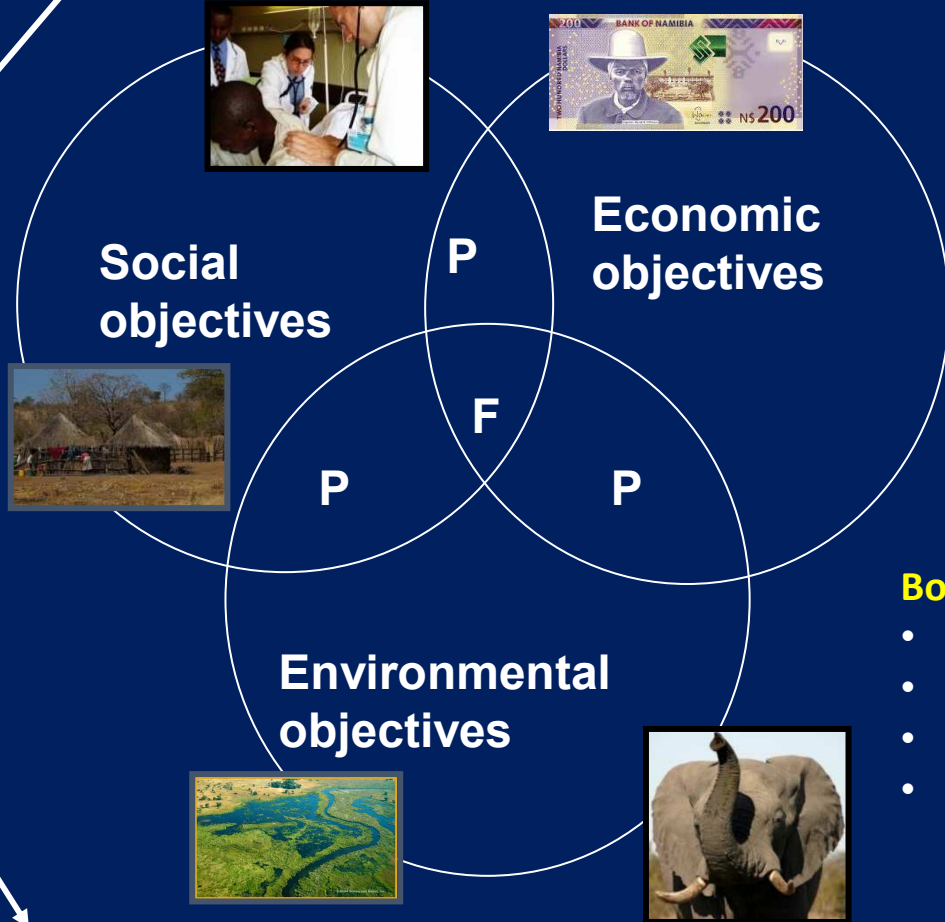
PLANNING & ORGANISING

- **Legal tools**
 - Public interest litigation, rights regime
- **Visioning**
 - **Scenarios**
- **Management planning & control**
 - QMS/EMS, ISO, risk assessment, threshold analysis



Understanding sustainable development to select appropriate approaches & tools

- Local
- National
- Global

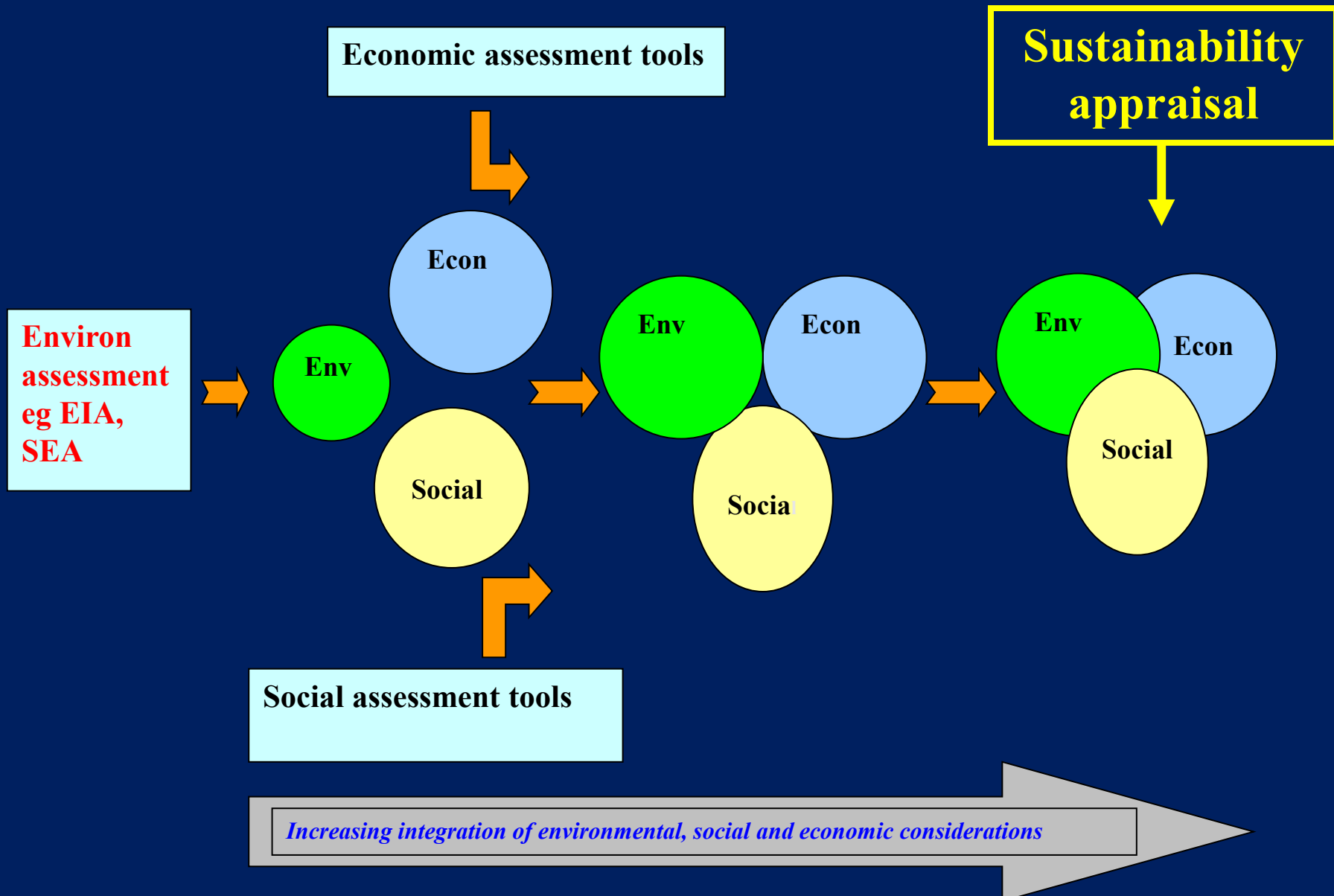


F Full integration
 P Partial integration

Integration where possible
Trade-offs where not possible

- Boundary Factors:**
- Politics
 - Cultural values
 - Peace & security
 - Institutional & administrative arrangements

Spectrum of integration



Challenge of analytical tools to achieve integration

'Languages' of pillars don't talk to each other

Some measured

- No. people with disease or children in school

Others are cultural / societal values

Social

Monetary units

- \$

Economic

Environmental

Measured units

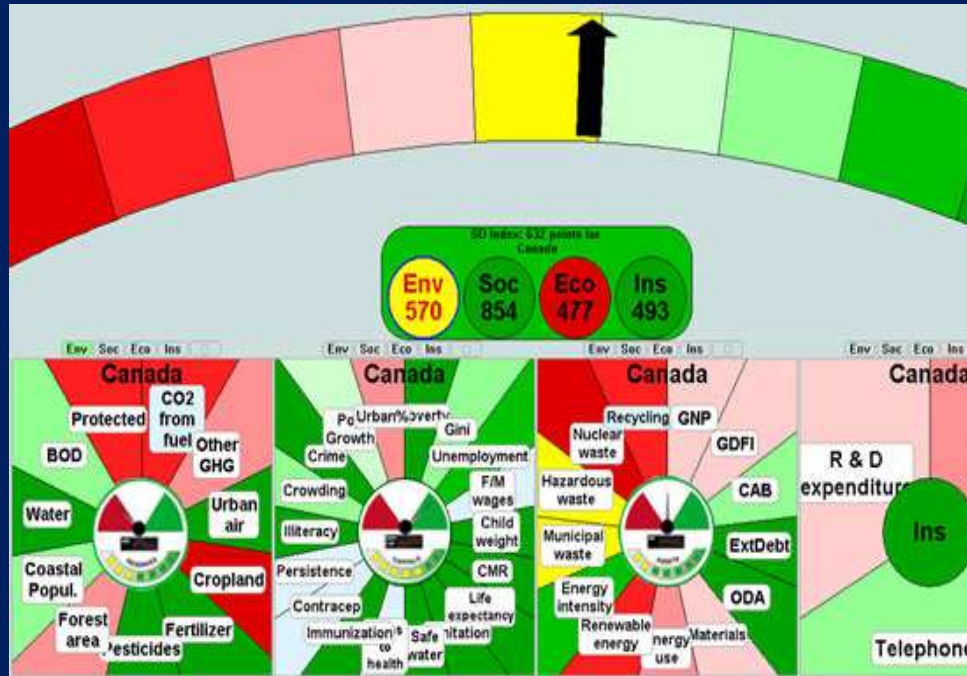
- ppm pollutants
- Ha forest lost
- Tons soil eroded

Cannot put these into an equation /computer and resolve.

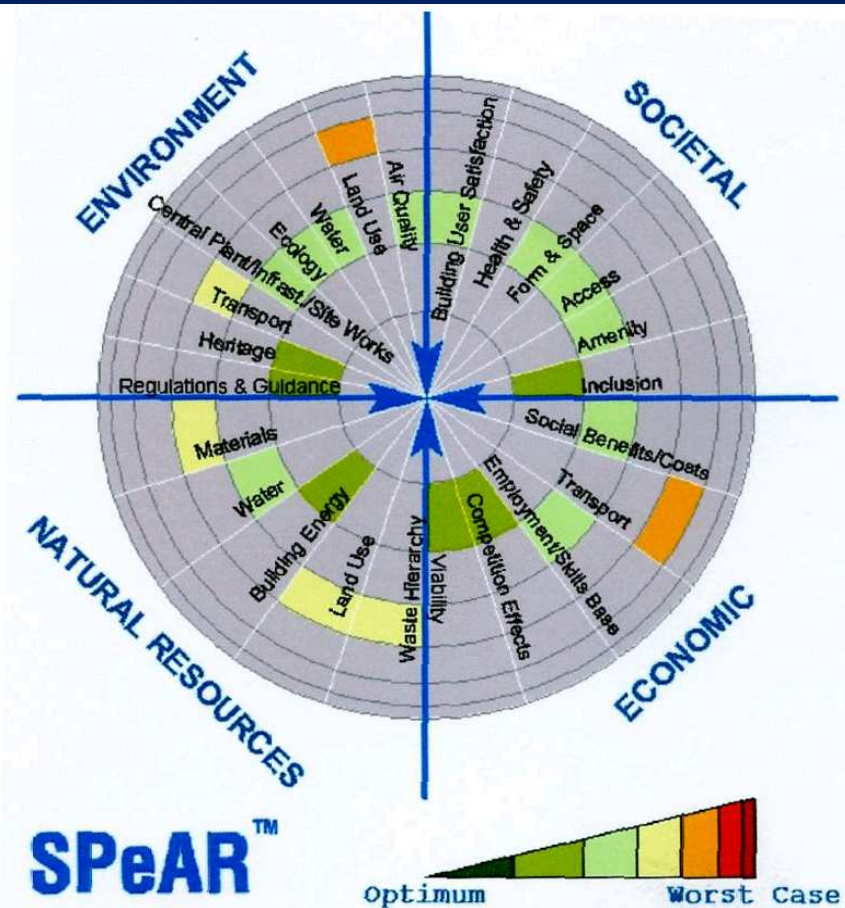
Ultimately involves choices & trade-offs

'POLITICAL' PROCESS

VISUALS



Dashboard of sustainability



The Botswana experience

Botswana's commitments to integrating SD

- Vision 2036
- Thrust to integrate SD at core of NDP11 and DDP8 and UDP4 (since 2015)
- Domesticating the SDGs to national and local contexts
- Integrating SD across sectors & thematic areas
- NDP11 makes SD its overarching goal and principle
- Recognition of remaining gaps
- UNDP support programme for integrating SD in policy-making and planning (2015-2016)

SD Assessment Tool - 1

Synergies, antagonisms and gaps in NDP11 – in the context of SD

Answer questions for each major activity envisaged under Theme

Score on scale 1-5 / low – high)

Weight score to reflect importance of questions

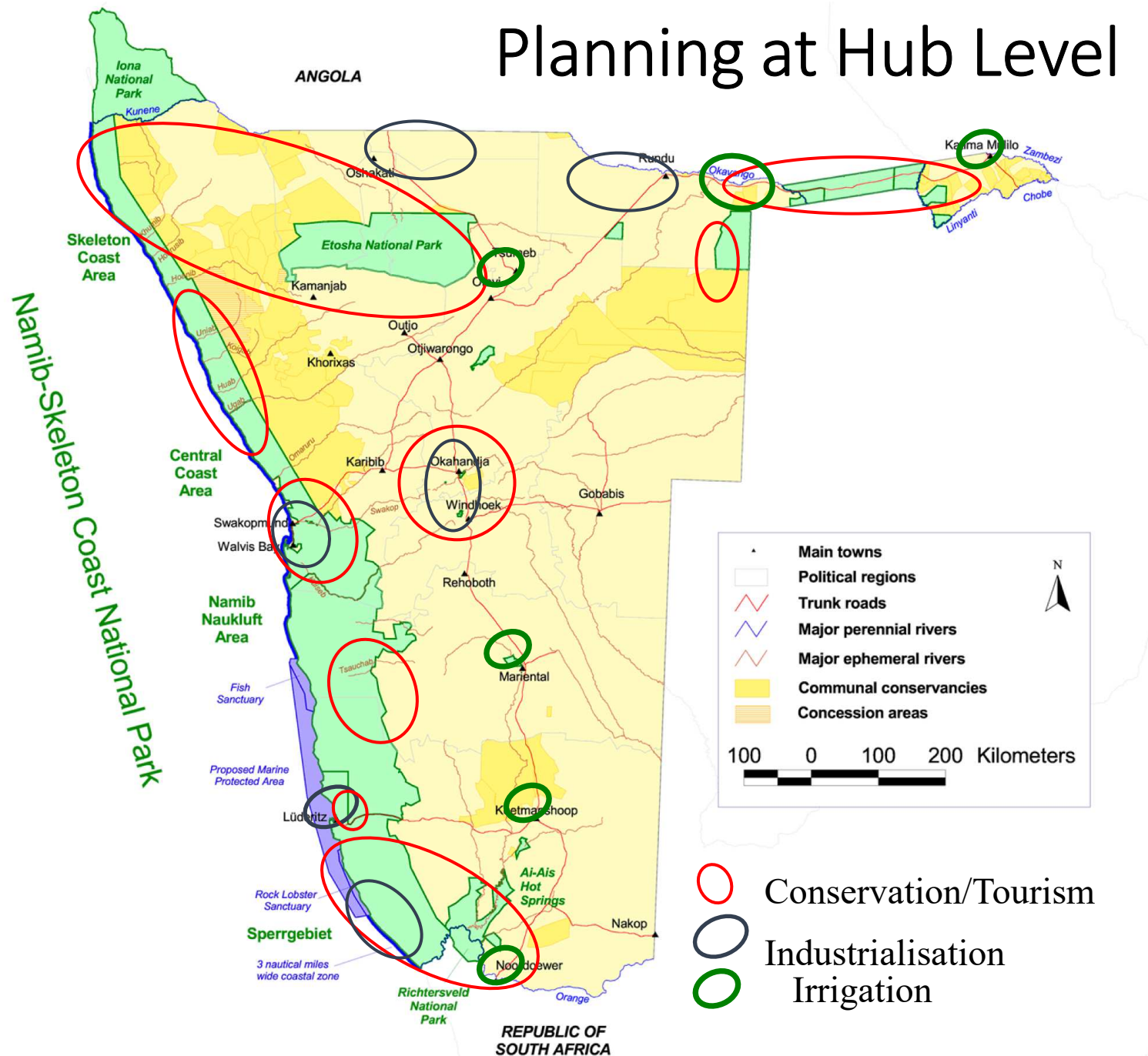
KEY CONSIDERATIONS/ISSUES FOR EACH PRIORITY	INFLUENCE		COMMENTS (on influence and its significance)
	+VE	-VE	
ECONOMY AND EMPLOYMENT			
1. Does it create potential to develop alternative sources of economic growth and promote diversification			
2. Will it contribute to GDP (after considering full cost accounting)			
3. Will it create employment – primarily for Batswana <ul style="list-style-type: none"> • Generate decent direct/indirect jobs (decent means: fair conditions, reasonable pay and hours, social security, opportunity for growth, etc.); • Generate significant multiplier effects; • Provide opportunities for entrepreneurship 			
4. Will it help to earn forex			
5. Will it contribute to inclusive (equitable) economic growth			
6. Does it have potential to encourage investment, technology transfer and innovation			
7. Will it contribute to poverty reduction			
SOCIAL UPLIFTMENT			
8. Will it contribute to diversified livelihood options			
9. Will it lead to social disruption (eg resettlement)			
10. Will it impact on health (including in workplace), HIV/AIDS, life expectancy, and health service delivery			
11. Will it contribute to development of skills, improve education, and create opportunities for training			
12. Will it generate opportunities for employment (particularly for youth and local people) and entrepreneurship			

SD Assessment Tool - 2

Synergies, antagonisms and gaps in NDP11 – in the context of SD

KEY CONSIDERATIONS/ISSUES FOR EACH PRIORITY	INFLUENCE		COMMENTS (on influence and its significance)
	+VE	-VE	
ENVIRONMENT			
13. Will it help reduce or rationalise demand for water (especially from surface or groundwater sources); or will it generate potential to enhance water security			
14. Will it result in pollution (of air, water or land)			
15. Will it improve land management and help control soil erosion, deforestation, overgrazing and other forms of land degradation?)			
16 Will it help improve or protect important habitats/ecosystems or biodiversity, and secure/enhance the services they provide to people and the environment			
17. Will it support suitability/resilience with respect to climate variability/change			
18. Will it lead to reduction in Botswana's carbon footprint			
19. Will it enhance food, water or energy security			
GOVERNANCE, SAFETY AND SECURITY			
20. Will it reduce crime and conflicts, or increase safety and security			
21. Will it enhance equality and improve Botswana's GINI coefficient (measures the degree of inequality in the distribution of family income in a country)			
22. Will it enhance intergenerational equity			
23. Will it improve public participation in decision-making and a sense of community			
24. Will it keep future development options open (or will it lead to development lock-in?)			

Planning at Hub Level



Thank
You